

**REQUEST FOR APPLICATIONS**

**2004 Fisheries Economic Development  
Matching Grant Program  
Grant Application Guide**

**ISSUED BY:**

**STATE OF ALASKA  
DEPARTMENT OF COMMUNITY AND ECONOMIC DEVELOPMENT  
OFFICE OF ECONOMIC DEVELOPMENT**

**FEBRUARY 2, 2004**



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## I. General Information

Welcome to the 2004 Fisheries Economic Development Grant Program. This is the Request for Application packet, also referred to as the Application Guide. Supplemental to this Application Guide is an Application Format. There are no application forms. In preparing an application under this program, follow the requirements of this Application Guide and the structure of the Application Format.

### **A. Issuing Agency and Contact Person**

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This Request for Applications is being issued by:

State of Alaska  
Department of Community and Economic Development (DCED)  
Office of Economic Development

P.O. Box 110809  
Juneau, Alaska 99811-0809 (Mailing Address)

333 Willoughby Avenue, 9th Floor  
Juneau, Alaska 99801 (Delivery Address)

Attention: Frankie Pillifant

Phone Number: (907) 465-3961

Fax Number: (907) 465-5085

E-mail: frankie\_pillifant@dced.state.ak.us

### **B. Additional Information and Assistance Available**

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Potential applicants should carefully review this Request for Applications for errors, questionable or objectionable materials, and items requiring clarification. Applicants should either put the comments and/or questions in writing and mail them to the above address or phone the above individual as soon as possible.

DCED may issue a written clarification to all those who initially receive a copy of the Request for Applications or respond only to the individual asking the question.

**IMPORTANT - DCED will screen all applications to assure adherence to the Application Guide and Application Format. Applications that do not address the requirements of the guide and format will be dismissed.**

### **C. Introduction of the 2004 Fisheries Economic Development Grant Program**

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In April 2003, Governor Frank Murkowski announced the Alaska Fisheries Revitalization Strategy. The Revitalization Strategy combines federal Fisheries Disaster funds authorized under Title V – Fisheries Disaster, Section 501(b) of the 2003 Federal

Appropriations Bill and Southeast Sustainable Salmon Fund monies, authorized under the Pacific Coastal Salmon Recovery Fund, made available by the work of Alaska Senator Ted Stevens.

The Revitalization Strategy is a multi-level, multi-year plan designed to spur increased productivity and innovation in the Alaska fishing industry by investing considerable resources into critical commercial fisheries infrastructure, capital improvement projects, quality improvements, and marketing.

A key component within the Revitalization Strategy is the 2004 Fisheries Economic Development Grant Program (Program), to be administered by the Alaska Department of Community and Economic Development (DCED). This Program is intended to assist communities in the fishing regions identified as (defined by Alaska Department of Fish and Game, Division of Commercial Fisheries) Southeast, Central, A-Y-K, and Westward that have been impacted by the downturn in the fishing industry.

It is anticipated that a minimum of \$1 million will be available for grants under this Program. The actual amount of funds allocated under this Program, or any portion of the Program, will be determined after review of all eligible grant applications received and final determination of available funding. DCED reserves the right to alter such allocations, including re-authorization of the available funds for other purposes under the Governor's Alaska Fisheries Revitalization Strategy, based on the overall quality and long-term value of the applications received. This grant application solicitation in no way requires DCED to expend or grant any funds for the purposes discussed herein.

#### **D. Who May Apply**

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Eligibility (eligible applicant) is limited to:

- Government units such as municipalities, tribal councils, or other recognized governing bodies of communities that have been impacted by the downturn in the fishing industry.
- Non-profit entities such as community and/or regional non-profit organizations representing communities and/or regions that have been impacted by the downturn in the fishing industry. Applicants claiming non-profit status must have supporting documentation from the Internal Revenue Service.
- For-profit small business such as fishermen, fish processors, or service businesses directly related to the fishing industry. It is anticipated that applicants will be located in close proximity to communities impacted by the downturn in the fishing industry. For-profit applicants must meet the U.S. Small Business Administration's definition of a small business as defined by the SBA's Office of Size Standards found at <http://www.sba.gov/size/>.
- Applicants primarily located in the fishing regions identified as (defined by Alaska Department of Fish and Game, Division of Commercial Fisheries) Southeast, Central, A-Y-K, or Westward.

## **E. Eligible Communities**

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Projects are limited to those that will benefit communities that have been impacted by the downturn in the fishing industry. Accordingly, it is anticipated that the majority of the communities will be located in the fishing regions identified as (defined by Alaska Department of Fish and Game, Division of Commercial Fisheries) Southeast, Central, A-Y-K, or Westward.

## **F. Type of Projects**

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This Program is intended to assist communities in the fishing regions identified as (defined by Alaska Department of Fish and Game, Division of Commercial Fisheries) Southeast, Central, A-Y-K, and Westward that have been impacted by the downturn in the fishing industry.

Assistance will be provided in the form of one-time funding (grants) for new, expansion of, or improvements to fisheries-related infrastructure projects, economic development projects, or business that have the potential to: (1) increase Alaska seafood/product quality, (2) increase Alaska seafood/product diversity and/or value in the consumer or food service market(s), (3) increase profitability for the harvesting and/or processing sector of the industry, (4) increase efficiencies and productivity in the industry, (5) lower costs within the industry, or (6) increase economic activity within the community and/or region. Examples of potential projects have been grouped by the following categories:

- **Freezing and Chilling:** Projects would improve the quality of Alaska seafood by chilling or freezing. Projects may include the installation of ice machines or chilling gear; purchase and/or improvement to floating ice machine barges; and additional equipment that improves access to freezing and chilling equipment.
- **Cold Storage Facilities:** Projects would improve the quality of Alaska seafood by building new and/or improve existing cold storage facilities.
- **Transportation and Distribution Network:** Projects would improve the quality of Alaska seafood by easing handling, increasing speed, and increasing efficiencies at key transportation nodes. Projects may include cooling systems, handling equipment, quality control equipment, freight consolidation facilities, and chain of custody tracking systems and devices.
- **Processing Facilities and Equipment:** Projects would increase the quality, diversity, and value of seafood products. Projects may include the construction or improvement of seafood processing operations, processing equipment, fish by-product equipment, utility improvements to processing areas, and waste outfall lines.
- **Shellfish Mariculture:** Projects would improve the efficiency and productivity of shellfish farming. Projects may include nursery grow sites, transportation

improvements, technological improvements, and holding and processing capacity improvements.

- **New Fisheries Development:** Projects that seek to develop new fisheries in Alaska and may include test fishing, gear testing, and market research.
- **Other:** By no means should possible projects be limited to the above examples or categories. An application should be submitted for fisheries-related infrastructure projects or economic development projects or business expansions.
- **Ineligible Projects:** Feasibility studies are not eligible. Operational and maintenance costs of existing projects are not eligible. Operational and maintenance costs of proposed projects, incurred after completion of the initial start-up, are also not eligible.

## **G. Project's Budget**

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Projects may range in duration from a few months to three years.

If the applicant is a governmental unit or a non-profit entity, DCED may provide up to 75 percent of the project's entire cost. Applicants must provide at least 25 percent of the funding (match) and are encouraged to provide more. If the applicant is a for-profit small business, DCED may provide up to 50 percent of the project's entire cost. Applicant's must provide at least 50 percent of the funding (match) and are encouraged to provide more.

This is a cash match, cost reimbursable grant program. Prior to receiving funds, grantees are required to match all expenses. The applicant will be required to expend funds and then seek reimbursement from DCED.

## **H. Project's Long-Term Value**

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Though this Program is intended to provide one-time funding (grants) for new and/or expansion of fisheries-related projects and businesses, the long-term sustainability and value of the projects is a major consideration.

## **I. Project Requirements**

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As of the release of this Application Guide, this Program is evolving. Therefore, DCED retains the right to change this Program as needed to comply with significant policy decisions.

Additionally, since this Program is being funded with federal money from the U.S. Department of Commerce, National Oceanographic and Atmospheric Administration provided to the State of Alaska, applicants must be aware that, in addition to state requirements, the following federal requirements may apply to DCED and to its sub-recipient grantees (applicants):

- Section 3016.22 incorporates the Cost Principles dictated by OMB Circular A-87 or similar document.
- Section 3016.37 requires DCED to give notice of all federal requirements to its sub-recipients.
- Applicants in the arrears with the federal government for any money owed may not be eligible for grants under this Program.
- State of Alaska's Single Audit Requirement established under Alaska Administrative Code 2 AAC 45.010.

Applicants should be aware that their application and all supporting documentation, as well as reports submitted pursuant to any grant received are public information.

## II. Submission and Form of an Application

### **J. Due Date and Number of Copies**

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An Applicant must submit an original and six copies of the Program application to the address and individual listed on page one (1) of this Request for Applications. The application is to consist of no more than eight (8) pages, not including the Table of Contents or a cover page. Font size should be no smaller than size 12, unless handwritten. Margins must be at minimum 1 inch from each side of the paper. Attachments to the body, such as resumes, detailed designs, cost estimates, resolutions, etc are in addition to the eight-page limit and are to be clearly identified. The application must be postmarked no later than February 23, 2004.

An Applicant must provide the information in the format required in Sections J – N set out below. **Applications that do not meet the requirements of Section J-N will be dismissed.** An Applicant may: (a) download this Application Guide and Format from DCED's website at <http://www.dced.state.ak.us/dca/seafood/revitalization/projects.htm> located under the 2004 Fisheries Economic Development Grant Program section; (b) request an electronic copy from the individual listed in Section A; or (c) type an application that provides the information in the form required in Sections J – N set out below.

### **K. Table of Contents**

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An application must include a Table of Contents, and all pages must be numbered and reflected accordingly in the Table of Contents.

### **L. Identify and Discuss the Applicant**

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An applicant's proposal (grant application):

- Must identify the applicant's organization and provide documentation as to whether the applicant is a governmental unit (may be self-evident), a non-profit entity, or a for-profit small business as defined by the U.S. Small Business Administration.
- Must discuss the applicant's organization such as duration of existence, an organizational diagram, and lines of communication.
- Must provide the applicant's physical and mailing addresses, phone and fax numbers. May provide email addresses.
- Must discuss the applicant's experience with similar previous projects, the success of those projects, and current and/or on-going projects.
- Must identify the key personnel, previous experience of each, and ability to successfully complete this project. Individual resumes may be included as part of the applicant's proposal.



- If the applicant is a for-profit entity, it must clearly demonstrate that it meets the qualification of a small business as defined by the U.S. Small Business Administration.
- Must provide the federal identification number.
- If the Applicant intends to hire a contractor(s) to perform portions of this project, the following information must also be provided for each contractor if available:
  - Complete name, mailing address, and physical address.
  - Verification of business license and other licensing credentials required under Alaska law.
  - Complete name, title, phone number, and email address of the contractor's contact person.
  - Identify the contractor's key personnel, previous experience, and responsibilities of each in the completion of the portion the project being contracted.
  - Individual résumés may also be included.

#### **M. Identify and Discuss the Community(ies)**

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- Each applicant must identify the communities and/or fishing region(s) that will benefit from the project.
- Each applicant must describe the extent of the impact of the downturn in the communities and/or region by discussing recent economic indicators such as downturn in ex-vessel price, wholesale price paid to processors (if available), decline in permits fished, return to harvesters and processors, and declining economic activity for seafood related businesses.
- If the applicant is a local government, the applicant must provide the governing body's proposed resolution of support. An approved resolution must be received by DCED by March 5, 2004.
- If the applicant is a non-profit entity, the applicant must provide a proposed resolution of support from the local government(s), cooperative agreement, or memorandum of agreement between the applicant and the various local governments. Approved documents must be received by DCED by March 5, 2004.
- If the applicant is a for-profit small business, the applicant must document how it has been impacted by the downturn in the fishing industry. Documentation of the community's support is not required but would be beneficial.

## **N. Discuss the Project**

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An applicant's proposal must provide a detailed and all-inclusive discussion of the project and should include but is not limited to:

- Detailed and concise discussion of the project. This includes detailed milestones, completion date of each milestone, specific activities for completion of each milestone, and completion of entire project.
- Discussion of how the project meets "DCED's Expectations" items (1) through (6) and the specific category expectations (i.e. Freezing and Chilling, Transportation and Distribution, etc.) (please see Section F, Type of Projects).
- Detailed system design; engineering designs; technical specifications; and maps if applicable.
- Detailed information on locations, construction, expansions, modifications to new and/or existing structures, facilities, equipment, etc.
- Detailed information on initial construction and installation and continuing maintenance.
- Detailed discussion on environmental and industry impacts, special requirements, permits, certifications, and/or other pertinent necessary approvals.
- Detailed discussion of the project's feasibility. Include all potential obstacles in the current business environment that may hinder or halt the success of the project; ideas or areas of change that would improve the viability of the project; and any other unique characteristics and assumptions that may affect the project.

## **O. Discuss the Project's Budget**

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An applicant's proposal must provide a detailed and comprehensive budget that clearly identifies all expenses and funding of the project, with independent estimates as available. Discussion should include, but by no means be limited to, the following items:

- Identify and project in detail any and all direct expenses. Examples include, but are not limited to, facility modifications, construction costs, equipment purchases, materials, supplies, freight, transportation, payroll and benefits, and etc.
- Identify and project in detail all funding sources. Examples include, but are not limited to, DCED grant funds, applicant's available cash, applicant's in-kind match, applicant's proposed loan, revenue generating idea, revenue from another entity, and etc. Also identify the percentage of funding provided by DCED, applicant, and other sources.
- If the applicant's contribution, e.g. match, includes an "in-kind" contribution such as the use of existing equipment, the monetary-value of the "in-kind" contribution must be based on industry-standards and documented in the applicant's proposal.

- An applicant's match must be directly related to the specific project in the application. Proposed match related to a business in its entirety will be rejected. For instance, in applying for processing equipment, using the processing facility as a match is not acceptable.
- Identify the amount and/or percentage of the amount anticipated as an initial advance from DCED; frequency of providing and example of summary financial reports on the entire project; frequency of providing and example of detailed information on expenses and revenue on the entire project.

#### **P. Discuss the Project's Long-Term Value**

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An applicant's proposal must describe the long-term sustainability and expected return the project will generate. Information must be consistent with information presented elsewhere in the applicant's proposal. Discussion should include but is not limited to:

- Discussion on how the project will facilitate any of the following in the long-term: (1) increase Alaska seafood/product quality, (2) increase Alaska seafood/product diversity and/or value in the consumer or food service market(s), (3) increase profitability for the harvesting and/or processing sector of the industry, (4) increase efficiencies and productivity in the industry, (5) lower costs within the industry, or (6) increase economic activity within the community and/or region.
- Discussion on how the project will become self-sustaining and the mechanisms, contractual or other, that assure increased productivity and capability of adapting to changes in the marketplace.
- Discussion on the continuing costs of the project including operation and maintenance, equipment upgrades and replacement, facility replacement and upgrades, and other improvements. Equipment depreciation and replacement schedules must be based on current industry rates and standards.
- Discussion on the continuing revenue sources and mechanisms to assure adequate revenue. Applicants are encouraged to include detailed, supported pro forma projections.

### III. Review and Evaluation of Applications

#### **Q. Initial Review of Applications**

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Prior to evaluating the grant applications, DCED will perform an initial review to identify grant applications that do not meet the minimum requirements and/or have not provided the minimum information and/or are otherwise deemed unresponsive to the requirements set forth herein. DCED in its sole discretion may contact the applicant for additional information or DCED may declare the application as non-responsive and reject it in its entirety. If rejected, the grant application will be eliminated from the evaluation process and the applicant will be notified accordingly.

#### **P. Evaluation of Applications**

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Upon completion of the initial review, remaining applications will be forwarded to an evaluation committee comprised of staff members from the Departments of Community and Economic Development, Fish and Game, and Labor and Workforce Development. Each member of the evaluation committee will independently evaluate each grant application based on the criteria, evaluation factors, and numerical values identified in this Application Guide and summarized below:

Eligible Applicants	20
Eligible Communities	20
Eligible Projects -- Description	20
Eligible Projects -- Duration and Amount (Budget)	20
Eligible Projects -- Long-term Value	20
Maximum Possible Points	100

- The Evaluation Committee, at its sole discretion, may decide if additional discussion with, or presentations by, applicants are required and/or if site inspections are necessary. Following any such discussions, presentations or site visits, members of the Evaluation Committee may change their individual scores based on the additional information provided.
- The individual Evaluation Committee members will have the opportunity to meet as a Committee to discuss the grant applications before and/or after their individual review and scoring. Members of the Evaluation Committee may change their individual scores based on these discussions.
- When the individual Evaluation Committee members have completed their scoring, the total points for each grant application will be determined. Applications may be grouped by the fishing regions (as defined by Alaska Department of Fish and Game, Division of Commercial Fisheries) of Southeast, Central, A-Y-K, and Westward; and ranked numerically within each region.

- Applications and ranking information will be forwarded to Cabinet level members of the Alaska Fisheries Revitalization Strategy Committee. Members will advise the Department, taking into consideration the: (1) federal limitations, such as a certain percentage of the Program must fund salmon specific projects in the Southeast region; (2) economic condition of the various fishing regions; an option may be to award fairly equal amounts to all fishing regions but by no means is limited to that; and (3) numerical ranking determined by the Evaluation Committee.

#### **Q. Notification of Applicants**

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All Applicants will be notified upon completion of the evaluation process.

The Department will make preliminary award determinations. Applicants receiving a preliminary award will work with Department on all outstanding requirements. Once all requirements have been met, the successful applicant will have the opportunity to enter into a Grant Agreement with the Department.

Unsuccessful applicants have a chance to seek reconsideration from the Department. The Department, at its sole discretion, may consider the reconsideration and will notify the applicant accordingly.

## **Application Format**

In preparing the application for consideration, please follow this format and refer back to the Application Guide for detailed instructions on each section. This format refers to the information required in sections J through P of the Application Guide.

### **Table of Contents**

- I. Applicant Information
  - A. Project plan title (this must be consistently used throughout the application)
  - B. Organization
    - 1. Name
    - 2. Organization Status
      - a) Including for-profit evidence of meeting SBA requirements
    - 3. History
    - 4. Organization diagram
    - 5. Lines of communication
    - 6. Federal identification number
  - C. Plan lead
    - 1. Name(s)
    - 2. Physical and mailing addresses
    - 3. Phone and fax number
    - 4. Email address (if available)
  - D. Applicant's relevant experience
    - 1. Description of
    - 2. Other plan contributors
      - a) Description of relevant experience
- II. Eligible Communities
  - A. Identify community(ies)
  - B. Description of adverse impact on community(ies) and applicant from downturn in salmon industry
  - C. For government or non-profit applicants, resolution of support
- III. Project Description
  - A. Discussion of project
  - B. Discussion of how project meets "DCED's Expectations"
  - C. Detailed system designs, engineering designs; technical specifications; and maps, if applicable
  - D. Detailed information on locations, construction, expansions, modifications, and equipment
  - E. Discussion on environmental and industry impacts, and other pertinent approval
  - F. Discussion of project feasibility

#### IV. Project Budget

##### A. Budget sheet under the following format:

Expense Description	Amount Requested	Match	Total
Totals			

- B. Identification of expenses
- C. Identification of all funding sources
- D. Identification of in-kind match
- E. Financial reporting proposal

#### V. Long Term Value

- A. Discussion of how the project will
  - 1. increase Alaska seafood/product quality,
  - 2. increase Alaska seafood/product diversity and/or value in the consumer or food service market(s),
  - 3. increase profitability for the harvesting and/or processing sector of the industry,
  - 4. increase efficiencies and productivity in the industry,
  - 5. lower costs within the industry, and
  - 6. increase economic activity within the community and/or region
- B. Discussion on how the project will become self-sustaining
- C. Discussion on the continuing costs of the project
- D. Discussion on the continuing revenue sources to assure adequate revenue

#### Attachment I – Application Information

- Incorporation documentation
- Evidence of meeting SBA requirements
- Plan Contributor Resumes
- Other